

Museum Grants for African American History and Culture

Grant Program Guidelines
and Application Forms

Application Deadline: July 15, 2006

Guidelines and fill-in forms are available at www.ims.gov.

FOR MORE INFORMATION, CALL OR WRITE:

Museum Grants for African American History and Culture Staff

Christopher J. Reich, Senior Program Officer

Phone: 202/653-4685

E-mail: creich@imls.gov

Twinet G. Kimbrough, Program Specialist

Phone: 202/653-4703

E-mail: tkimbrough@imls.gov

Office of Museum Services

General number: 202/653-4789

Institute of Museum and Library Services

1800 M Street, NW

9th Floor

Washington, DC 20036-5802

General phone: 202/653-IMLS (4657)

General E-mail: imlsinfo@imls.gov

Web site: www.imls.gov

TTY (for hearing-impaired persons): 202/653-4699

IMLS will provide visually impaired or learning-disabled persons with an audio recording of this publication or any other grant publication upon request.

Burden estimate and request for public comments

Public reporting burden for this collection of information is estimated to average nine hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services at the address above; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0065), Washington, DC 20503.

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DEAR COLLEAGUE

I am proud to present the application and guidelines for the inaugural year of the Institute's Museum Grants for African American History and Culture. For decades, African American museums in the United States have been catalysts that deepen appreciation and understanding of the African American experience in art, history, and culture. They play an essential role in the creation of scholarship and serve as trusted stewards of collections.

This program was established by the National Museum of African American History and Culture Act which calls upon the director of the Institute of Museum and Library Services to work in coordination with the council of the new Smithsonian museum and its director to create a new funding opportunity. This year Congress has appropriated \$842,000 for this purpose.

We are pleased to have been able to work in close consultation with the leadership of the new Smithsonian museum as well as with leaders in the museum field to shape these guidelines. We were also guided by what we heard in July 2004 when we convened a day-long forum with museum leaders about the status of African American museums today.

We want to emphasize that African American museums continue to be eligible for other IMLS grant programs and we encourage applications. The new grant program provides a fresh opportunity to find new ways of increasing the understanding of African American history and culture in communities across the nation. Thank you for your participation. We know that with your help this program can make a difference.

Sincerely,



Anne-Imelda M. Radice, Ph.D.
Director

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General Information

THE OPPORTUNITY: MUSEUM GRANTS FOR AFRICAN AMERICAN HISTORY AND CULTURE

Museum Grants for African American History and Culture are intended to build professional capacity in the African American museum community. The program will provide opportunities for the staff of African American museums to gain knowledge and abilities in the areas of management, operations, programming, collections care and other museum skills identified as a high priority by applicants. It will provide an opportunity for African American museums to design projects that will enhance institutional capacity and sustainability by utilizing professional training, technical assistance, internships, outside expertise and other tools.

For FY2006, the program will focus on the following three goals:

- Developing and/or strengthening knowledge, skills and other expertise of current staff at African American museums.
- Attracting and retaining professionals with the skills needed to strengthen African American museums.
- Attracting new staff to African American museum practice and providing them with the expertise needed to sustain them in the museum field.

Funds will support a wide range of activities that support these goals, including:

- staff exchange, education or training, or other strategies that increase the skills needed to improve African American museum services;
- attendance at museum conferences and other professional meetings;
- enrollment in courses or workshops, on

site or through distance learning;

- technical assistance or consultation with museum and/or business professionals from outside the institution; and
- organizational support for internships and fellowships (awards are not made to individuals), including support for the development and implementation of internship and fellowship programs.

Grantees are encouraged to include staff attendance at one or more professional museum conferences as part of their project, and can fund this attendance with grant funds. Conferences can include state, regional or national meetings.

IMLS encourages projects for the full range of funding; we expect that awards will be made at all levels, from \$5,000 to \$150,000.

ELIGIBILITY

Who May Apply

An applicant must:

- be either a unit of state or local government, or a private not-for-profit organization that has tax-exempt status under the Internal Revenue Code;
- be located in one of the fifty states of the United States of America, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
- qualify as one of the following three types of organizations:
 1. A museum whose primary purpose, as reflected in its mission, is African American life, art, history, and/or culture, encompassing the period of slavery; the era of reconstruction; the Harlem renaissance; the civil rights movement; and other periods of the African American Diaspora;
 2. A museum service organization or association¹ whose primary purpose, as reflected in its mission, is to support museums identified above; or
 3. Historically Black College and Universities as defined by the Higher Education Act of 1965, as amended, 20 U.S.C. Section 1061, and pursuant to Executive Order 13256, dated February 12, 2002.

NOTE: a museum² is defined as an organization that, using a professional staff,³ (1) is organized on a permanent basis for essentially educational or aesthetic purposes; (2) owns or uses tangible objects, either animate or inanimate; (3) cares for these objects; and (4) exhibits these objects to the general public on a regular basis through facilities which it owns or operates.⁴

²Museums include, but are not limited to, aquariums, arboretums, art museums, botanical gardens, children/youth museums, general museums (those having two or more significant disciplines), historic houses/sites, history museums, natural history/anthropology museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single distinct subject), and zoological parks.

³An institution uses a professional staff if it employs at least one professional staff member, or the full-time equivalent, whether paid or unpaid, who is primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution.

⁴An institution exhibits objects to the general public if such exhibition is a primary purpose of the institution. Further, an institution which exhibits objects to the general public for at least 120 days a year shall be deemed to exhibit objects to the general public on a regular basis. An institution that exhibits objects by appointment may meet the requirement to exhibit objects to the general public on a regular basis, if it can establish, in light of the facts under all the relevant circumstances, that this method of exhibition does not unreasonably restrict the accessibility of the institution's exhibits to the general public. (continued on next page)

¹A friends group associated with a single museum is not an eligible applicant.

ELIGIBILITY

Museums Within Multipurpose Organizations

Please note that a museum located within a parent organization that is a state or local government or multipurpose not-for-profit entity, such as a municipality, university, historical society, foundation, or a cultural center; may apply on its own behalf if the museum: (1) is able to independently fulfill all the eligibility requirements listed above; (2) functions as a discrete unit within the parent organization; (3) has its own fully segregated and itemized operating budget; and (4) has the authority to make the application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization, and the parent organization may submit a single application for one or more of its museums.

(continued from previous page) An institution that does not have as a primary purpose the exhibition of objects to the general public, but which can demonstrate that it exhibits objects to the general public on a regular basis as a significant, separate, distinct, and continuing portion of its activities, and that it otherwise meets the museum eligibility requirements, may be determined to be eligible as a museum under these guidelines. For more information, please see 45 C.F.R. Part 1180.3(d)(2), available upon request.

DATA UNIVERSAL NUMBERING SYSTEM (DUNS)/ TAXPAYER IDENTIFICATION NUMBER (TIN)

DUNS

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) Number when applying for federal grants or cooperative agreements on or after October 1, 2003.

Organizations should verify that they have a DUNS Number or take the steps needed to obtain one. Organizations can receive a DUNS Number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting www.dnb.com/us. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or nonprofit organization they may operate are exempt from this requirement.

TIN

The Taxpayer Identification Number (TIN) is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security Number is issued by the SSA whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal tax identification number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

If an organization does not have a DUNS and a TIN number, the application will be rejected.

CONDITIONS OF A GRANT

Duration of a Grant

Generally, project activities supported by grants may be carried out for a period of up to two years.

Project Start Date

Projects may begin no earlier than November 1, 2006 and no later than January 1, 2007. Projects must begin on the first day of the month and end on the last day of the month.

Amount of Grant

Museum Grants for African American History and Culture range from \$5,000 to \$150,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than requested.

Cost Sharing

Project cost must be matched 1:1 through the cost share by the applicant. Applicants must provide at least one-half of the total cost of the project from non-federal sources. These costs may be supported by the grantee's cash outlays including cash contributions from third parties that are used to support project costs, the value of the grantee's contributions of property and services to the project, and third-party in-kind contributions that are used to support project activities. IMLS encourages applicants to contribute as cost sharing the salaries of any permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain how their regular duties will be performed during the grant period. IMLS strongly encourages applicants to seek third-party donations of cash, equipment, and services. If any funds

are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe the plan for meeting the promised cost share from other sources in the event that the pending funds are not received. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing or as specified in applicable OMB circulars. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply, including appropriate OMB circulars.

Use of Funds

IMLS grant funds may be used only for costs directly related to the project such as costs for salaries for museum personnel, project supplies and materials, membership fees, telecommunication services and equipment, and other fees or expenses associated with the project.

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, collection acquisition or pre-grant costs.

Projects should be investments in the organization that will have long-term institutional impact, not one-time activities. Any revenues generated with project funds during the grant period must be reported as program income

and should be applied to the grant recipient's cost sharing or as specified in applicable OMB circulars. All listed expenses must be incurred during the grant period. Government-wide uniform administration rules and requirements apply, including appropriate OMB circulars.

For a list of allowable and unallowable costs, please see pages 10-11.

Copyright/Work Products

IMLS requires acknowledgment of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval from IMLS for another arrangement. With written permission, the recipient may copyright any work that is subject to copyright and was developed under an award or for which ownership was purchased. IMLS reserves, for federal government purposes, a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that grantees provide three copies of any products produced with IMLS funds to IMLS with final reports.

Announcement of Award

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in September 2006.

Payment, Accounting, Management and Reporting Procedures

A federal accounting office handles the payment for Museum Grants for African American

History and Culture recipients, and grantees may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. Grantees do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements. In addition, government-wide uniform grant administrative rules and requirements apply, including appropriate OMB circulars.

Grant recipients are required to submit semi-annual interim performance reports every six months during the grant period as well as annual financial reports. They are also required to submit a final performance report and a final financial report at the end of the grant period.

APPLICATION REVIEW AND EVALUATION

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants to obtain information needed to make an eligibility determination. If an applicant is determined to be ineligible, the agency will reject the application without evaluating the proposed project. (See Eligibility, page 3). Similarly, the agency will reject an incomplete application without subsequent evaluation of the proposed project. IMLS will notify an institution in writing if its application is rejected.

All eligible and complete applications are competitively reviewed through the agency's peer review process. Applications are evaluated by individual field review and/or panel review. IMLS draws its reviewer pool from professionals in the field who have relevant knowledge and expertise in the types of activities and organizations identified in the applications.

During the evaluation process, reviewers are instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Accordingly, applicants should address all program criteria in their Application Narratives and include supporting materials in their submissions to the agency. The IMLS Director makes final funding decisions based on the reviewers' evaluations and the overall goals of this program and the agency.



Project and Application Requirements

GRANT ACTIVITIES AND COSTS

The Museum Grants for African American History and Culture Program is designed to help build professional capacity in the African American museum community (see “The Opportunity”, page 2). Applicants should define how the project activities relate to their institutional goals for building professional capacity.

Types of grant activities funded may include but are not limited to:

- staff exchange, education or training, or other strategies that increase the skills needed to improve African American museum services;
- attendance at museum conferences and other professional meetings;
- enrollment in courses or workshops, on site or through distance learning;
- technical assistance or consultation with museum and/or business professionals from outside the institution; and
- organizational support for internships and fellowships (awards are not made to individuals), including support for the development and implementation of internship and fellowship programs.

Grantees are encouraged to include staff attendance at one or more professional museum conferences as part of their project, and can fund this attendance with grant funds. Conferences can include state, regional or national meetings.

Grant activities are expected to have quantifiable and measurable outcomes, and grantees will be expected to evaluate the success of the project against the established outcomes in the original grant application. IMLS will provide

technical support to grantees as they develop their evaluation plans and implement those plans. Information about outcome-based evaluation can be found on the IMLS Web site (www.imls.gov/applicants/obe.shtm) or may be requested from IMLS.

Non-Eligible expenses include but are not limited to:

- general museum fundraising costs, such as development office expenditures or other staff time devoted to general fundraising.
- contributions to endowment funds;
- acquisition of objects for the collection;
- costs of social activities, ceremonies, and other entertainment;
- pre-award costs (costs incurred prior to the effective date of the grant);
- construction and renovation of museum facilities. Any activity involving contract labor in the construction trades is not an allowable cost. Exhibits fabrication can be an allowable cost. If you have a question about the eligibility of the scope of your exhibition activities, please call IMLS staff immediately.
- collection conservation activities including the purchase of storage equipment such as shelving, installation of collections, HVAC systems, creation of collections storage facilities, object treatment, collections surveys, or historic structure renovation (for these activities, please see IMLS Conservation Project Support Guidelines).

COST SHARE

- exhibit fabrication that includes creation of large scale permanent structures for animals or objects that would involve contract labor of the construction trades. If you have a question about the eligibility of the scope of your exhibition activities, please call IMLS staff.

Eligible expenses include but are not limited to:

- staffing;
- purchase of equipment, materials, supplies or services;
- staff training;
- internship stipends and support activities;
- integration of technology into museum operations;
- publication;
- costs associated with evaluation of grant programs or activities;
- indirect or overhead costs (see page 23).

Applicable government-wide cost principles are listed in 45 C.F.R. Section 1180.10(a) (IMLS regulations), available upon request.

IMLS will provide up to one-half the cost of the project. Your cost share may consist of:

- cash contributions;
- in-kind contributions;
- materials and supplies;
- earned income; and/or
- equipment.

You may not use federal funds as your cost share. In-kind contributions such as staff time, donated services, supplies, and space may be used as cost share if you can document that donations relate specifically to your African American History and Culture grant project.



Completing the Application Narrative

APPLICATION NARRATIVE QUESTIONS AND EVALUATION CRITERIA

IMLS reviewers base their evaluations only on the information presented in the application. This makes it very important for applicants to prepare a clear, concise, well organized document. Applicants must address each question separately, and in the same order in which they are listed below.

1. Statement of Need

Include a statement of need as it relates to the museum, its audience, and/or the African American museum community. Include information such as:

- audiences to whom African American museum services are being provided;
- how the proposed project will improve museum staff abilities and museum services;
- *for proposals that are designed to benefit multiple African American museums:* how the project will improve the overall African American museum community.

Evaluation Criteria: Evidence the applicant has performed a formal or informal assessment of museum and/or community needs, and has developed the project and its goals as the best solution to those needs.

2. Project Design

Include a description of the proposed project design. Include information such as:

- project goals and objectives;
- specific skills, knowledge, and experiences that will build staff or institutional capacities;
- changes in behaviors the project is designed to provide to museum staff;
- action steps and activities to implement the project;
- expected results of project.

Evaluation Criteria: Evidence that the project proposes efficient, effective and reasonable approaches to accomplish clear goals and objectives. Evidence that the methodology and design are appropriate to the scope of the project. Evidence that the project will meet IMLS program goals.

3. Project Resources: Time, Personnel, Budget

Describe project resources, both those funded by the grant and those funded by the institutional cost share. Include information such as:

- time allocation to complete project;
- personnel involved in project, their qualifications, commitment to project activities, and how they will balance project responsibilities with other ongoing duties;
- budget allocated to accomplish project activities, including both the applicant's contributions and how the applicant will meet the required 1:1 match.

Evaluation Criteria: Evidence that the applicant will effectively complete the project activities through the deployment and management of resources including money, facilities, equipment and supplies. Evidence of sound financial management, coupled with an appropriate and cost efficient budget. Evidence that the applicant has the ability to meet the cost share requirement. Evidence that the project personnel demonstrate appropriate experience and expertise and will commit adequate time to accomplish project goals and activities. Reviewer evaluation for this section of the application will include the Narrative, Budget Forms, Budget Justification, and Resumes.

4. Impact

Describe how the project will impact the institution. Include information such as:

- specific outcomes that will result from the project;
- how the project's accomplishments, benefits, and changes will continue beyond the grant period.
- *for proposals that are designed to benefit multiple African American museums:* how the project results will be disseminated to benefit the African American museum community.

Evaluation Criteria: Evidence that the project will create specific changes and benefits for the applicant, and/or the community served. Evidence that the applicant has plans to sustain those changes and benefits beyond the grant period.



Preparing the Application Package

PREPARING YOUR APPLICATION

An application requesting funding through Museum Grants for African American History and Culture should include the following materials organized in the order listed. Following this list is a description and reference pages for each piece of the application.

1. Face Sheet
2. Museum Grants for African American History and Culture Information Sheet
3. Statement of Purpose/Mission Statement (not to exceed one page)
4. Institutional Financial Statements (for past two fiscal years; no full audits please)
5. Narrative (not to exceed seven pages) with each evaluation criteria numbered and labeled
6. Schedule of Completion
7. Project Budget (Summary, Detailed, and Budget Justification)
8. Current, federally negotiated rate for indirect costs, if applicable
9. Proof of Non-profit Status, if applicable
10. List of key project staff and consultants
11. Resume(s) for key project personnel (not to exceed two pages per person)
12. Grant Processing Information Sheet (included on page 43)
13. Attachments (see page 26 for more information; not to exceed 20 pages)

Electronic Fill-In Application Forms

IMLS now makes all application forms available on our Web site in PDF (Portable Document Format) for download. Applicants can download the electronic version of an IMLS application form using freely available software, and type into the forms on any computer. This eliminates the need for a typewriter or for recreation of IMLS application forms. Note that the forms cannot be submitted electronically, but may be completed online and then printed on the applicant's printer and shipped. Caution: the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit www.imls.gov. Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

Face Sheet Instructions

The Face Sheet and Museum Grants for African American History and Culture Information Sheet are provided as pages 35–38 in the Application Forms section of this document. Use or replicate these forms. These pages are available as fill-in forms on the IMLS Web site, www.imls.gov.

1) Applicant Organization

Enter the legal name of the organization that is submitting the application and its mailing address, Web address, DUNS and TIN numbers. Please make sure to include the zip+4 and the Congressional District in this address. To find your zip+4 code, please go to <http://zip4.usps.com/zip4>. To find your Congressional District please go to www.house.gov and enter the address, including the zip+4.

If a museum or other eligible entity does not have the authority to apply directly to IMLS for funding, enter the name of the parent organization that is submitting the application on behalf of the eligible entity, enter the name of the museum or other eligible entity in the space provided on the African American History and Culture Information Sheet, page 37 number 1, for the organizational unit.

2) Project Information

Enter the project title, a brief description, and the grant period start and end dates.

3) Project Director

Enter the name, address, and contact information of the person (Project Director) who will be responsible for carrying out the project and who will serve as the primary contact with IMLS regarding the progress achieved under the grant.

4) Primary Contact/Grants Administrator

If the Project Director performs all the grant administration tasks as well, check the “Same as Project Director” box and go to the next item. If your institution has someone separate from the Project Director who manages the grant administration tasks, fill in the information of that person (Grants Administrator).

5) Type of Applicant

Select one code that most accurately describes your institution.

6) Authorized Official/Authorizing Representative

Enter the name, address, and contact information of the person (Authorized Representative/Authorizing Official) who has the authority to apply for federal support of the institution’s activities and enter into legal agreements in the name of the institution. (In those rare instances when a person who would normally serve as the Authorized Representative/Authorizing Official is the Project Director, the name, title, address, etc. of the person to whom the Project Director reports—e.g., the Board Chair—should be entered here and that person should sign the application.) All written correspondence will be sent to the Authorized Official/Authorizing Representative at the applicant address.

PREPARING YOUR APPLICATION

Information Sheet Instructions

The Museum Grants for African American History and Culture Information Sheet is provided on pages 37–38 in the application forms section of this document. These pages are available as a fill-in form on the IMLS Web site.

1) Legal Name/Organizational Unit

Enter the legal name of the applicant. If the museum is not able to apply for grants on its own behalf, then enter the name and address of the museum in the Organizational Unit. For example, if a museum that is part of a parent organization such as a university is applying, the university would be the legal applicant, and the museum would be entered as the organizational unit.

2) Type of Museum (if applicable)

Enter the most appropriate discipline of the museum, if applicable.

3) Attendance (if applicable)

If the applicant is a museum, enter the museum's attendance for the 12-month period prior to application.

4) Hours Open (if applicable)

Enter the number of hours the museum (if applicable) was open to the public for the 12-month period prior to application.

5) Date First Opened

Enter the year the museum was first open and exhibiting to the general public. If the applicant is not a museum, enter the year of its establishment.

6-9) Staff

Enter the number of full-time and part-time paid or unpaid staff.

10) Operating Income

For museum applicants, enter the museum's two most recent amounts of non-Federal operating income and expenses for corresponding years. If the institution has a budget surplus or deficit, a one page explanation must be attached for each.

11-12) Grant Request/Cost Share

Enter the applicant's grant amount request and cost share.

13) Summary of Project Activities

Enter a description of all project activities.

Application Checklist

The Checklist is provided on page 20 in the Application Forms section of this document. Use the Checklist to help you arrange the sections of the application in the correct order.

Statement of Purpose/Mission Statement and History

The Statement of Purpose/Mission Statement and History page includes a mission statement and brief background history for the reviewers that:

- Must note the source, approving body, and date of the official document where it appears
- May be quoted from or summarized to convey the essential points of the statement, if the statement is too long to be quoted in full.
- Must accurately portray your organization's purpose or mission.
- Uses the remaining space available on the page to include a brief history of the museum.
- Must not exceed a maximum length of one page 8-1/2 by 11 inch single spaced.

Institutional Financial Statements

Institutional Financial Statements are a snapshot of the organization's financial health that helps reviewers determine financial stability and gives an overall picture of the institution. Institutional Financial Statements:

- Include a required copy of your organization's financial statements for your past two complete fiscal years. If at time of application your fiscal year is complete, but not yet audited, please submit these unaudited figures and label as such.
- If the applicant is part of a larger organization (municipal government, university, etc.), do not include financial statements for those parent organizations, only for the applicant.

- Can be in the form of statement of activities, internal balance sheets, audit summary pages, or federal tax returns.
- Should not include copies of full audits. (Full audits may be included in the attachment section, if desired).
- Should not include audits of value or worth of the collection used for insurance purposes.

Narrative

A well-designed proposal is thorough and succinct while addressing all narrative questions. The application narrative must be no more than seven pages and:

- Identify grant activities and address the Narrative Questions listed on pages 14–15.
- Answer each question in the order listed on pages 14–15, with corresponding labels and numbers.
- Not include detailed budget discussions. These should be included in Budget Justification section (see page 25).
- Be legible so that reviewers can easily read the information you provide.
- Be no more than seven single-spaced, one-sided pages in length.
- Have a margin of at least .5 inch on all sides.
- Have a page number on each sheet.
- Be printed in a standard 12-point typeface with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable. Handwritten applications will not be accepted.

PREPARING YOUR APPLICATION

Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project activity will be complete and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. A Sample Schedule of Completion is provided on page 22. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (pages 35–36) and Budget Pages (pages 39–41). The applicant need not follow the sample format but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project. The project must begin between November 1, 2006 and January 1, 2007, starting only on the first day of the month.

Budget

The IMLS application for the Museum Grants for African American History and Culture includes three elements to describe the costs of a proposed project: a Summary Budget form that describes costs for the entire project, a Detailed Budget form for each year of the project, and a Budget Justification that explains all components of the Detailed Budget form.

1. SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, and the amount provided as cash and in-kind contributions by the applicant, any partners, and from any other sources in the cost-share column. This page is available as an electronic fill-in form on the IMLS Web site or may be recreated using the same format.

IMLS has provided instructions below on what information to include in the Detailed Budget form. IMLS has described each cost category included on the Detailed Budget form, as well as the information that the applicant should include in this section. It shows full project costs in each category for all years.

2. DETAILED BUDGET

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see Indirect Costs below) are not charged to the project as direct costs.

It should be completed for each year (12 month) of project activities. It should be duplicated, one set for each year of your project. It should clearly and specifically identify sources of contributions. For third party contributions, it must indicate whether the contributions are assured or pending.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor, including a partner, should be listed under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. A complete itemization of these costs should be attached to the IMLS budget form. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and must have an attached itemization.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

- Indirect costs are computed by applying a negotiated indirect cost rate to a distribu-

PREPARING YOUR APPLICATION

tion base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget, but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may charge an administrative fee to the project of up to 15%. IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the direct project costs that will be supported by the applicant and may therefore be counted as part of the applicant's cost sharing. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to more than the first \$5,000 of distorting costs such as equipment purchases or subcontracts. For example, if your total request to IMLS is \$100,000, and \$20,000 will be spent on a contractor to provide digitization of collections, and \$10,000 will be spent on a piece of equipment, then your modified direct costs would be \$80,000 (since you must subtract any amount over \$5,000 for large contracts and equipment when doing this calculation). Then your indirect cost are 15% of \$80,000, or \$12,000 (\$100,000 total request - \$15,000 of contractor cost - \$5,000 of equipment cost = \$80,000 modified direct costs).

- If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy

of the negotiation is forwarded to IMLS with the application. In this case, however, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be supported by the applicant may be included in the budget only as a part of the applicant's cost share/match. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.

- An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate the total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application.
- An organization that will function as a partner in undertaking grant activities may charge an administrative fee to the project of up to 15 percent if it does not have a federally negotiated indirect cost rate that will be current at the time the award is made. If it chooses to charge indirect

costs to the project, a copy of the indirect cost negotiation must be attached to the budget itemization.

3. BUDGET JUSTIFICATION

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the budget will play in the grant project. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The applicant should provide specifications for all hardware and software requested through IMLS funding. IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third party service providers should be documented by bids or otherwise justified. It should be no more than two single-spaced pages.

Proof of Non-Profit Status

If your organization is a private, non-profit organization

- You must submit a copy of the IRS letter indicating your organization's eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended.
- IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

List of Key Project Staff and Consultants

A one page list of all key museum staff and consultants for the project is required. If a name appears on this list, there must be a resume attached for that person.

Resumes

- Resumes or vitae of no more than two pages each for all key personnel (both staff and consultants) must be included.
- If staff is to be hired with grant funds, a one-page position description of the open position qualifications must be included. Each position description must specify the amount and type of necessary experience, the level of education required, and the precise role that person will play in the project.
- If you have not chosen your key project personnel by the application deadline date, then you must submit position descriptions instead of resumes. Since African American History and Culture grant application reviewers rely on resumes and letters of commitment (see below) to determine the success of a project, if you have not chosen your personnel, you will be at a competitive disadvantage.

PREPARING YOUR APPLICATION

Grant Processing Information Sheet

This sheet is used to assist IMLS staff in determining applicant eligibility.

- The form is provided on page 43.
- All questions must be answered.

Attachments

Attachments are documents that specifically relate to the justification for the project but are optional.

- IMLS encourages applicants to only include information that will supplement the narrative and support the information provided in the application. Applicants should not use attachments to answer narrative questions.
- IMLS strongly encourages inclusion of needs assessments (formal or informal documentation used to evaluate and plan projects; that can include surveys, reports, etc.), reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature, or other documents for the evaluation of the proposal.
- Other attachments could include letters of support from partners or other groups that the museum works closely with on this project, collections, technology or other departmental plans for the institution as applicable to the proposed project.
- Total attachments are limited to 20 one-or two-sided pages. This includes any books. If they are over 20 pages in length, they will not be included in your application, and cannot be returned to the applicant.
- IMLS will remove any supplemental materials above the 20 page limit. They will not be sent to reviewers as part of your application, and cannot be returned to the applicant.

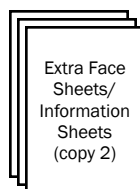
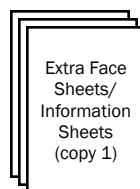


Assembling and Sending the Application to IMLS

HOW TO ASSEMBLE THE APPLICATION PACKAGE

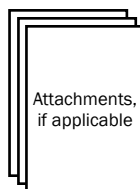
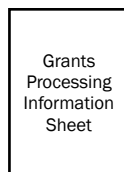
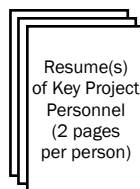
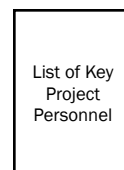
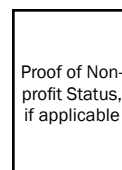
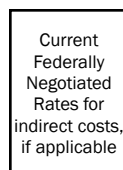
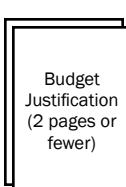
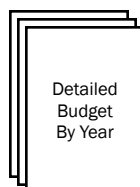
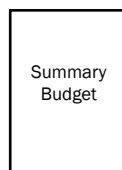
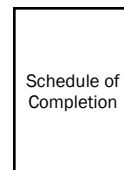
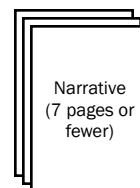
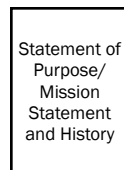
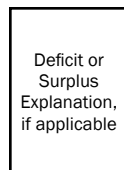
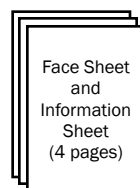
Review your application package carefully before sending it to us. You must include all of the required items listed below and the proper number of copies. (Each item is described in detail in Step 2.) Your application is subject to rejection without review if any required item is missing. If you have any questions, contact IMLS at (202) 653-4789.

Step One: Make two photocopies of your Face Sheet and Information Sheet



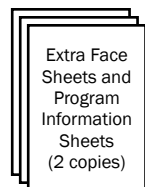
Note: Make sure to copy all 4 pages of the Face Sheet and Information Sheet

Step Two: Collate ONE original (complete) copy of your application as follows:

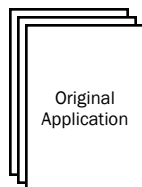


Step Three: Make TEN identical sets of the material assembled in Step Two.

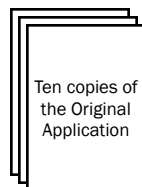
Step Four: Collate your piles from Steps One through Three as follows:



Step One



Step Two



Step Three

Do not use staples to fasten pages together; use binder clips or other removable binding. *Please*

Note: IMLS will not do your photocopying or collating!

Your materials are now ready to send to IMLS!

SENDING THE APPLICATION TO IMLS

Send Museum Grants for African American History and Culture applications to:

Museum Grants for African American History and Culture
Office of Museum Services
Institute of Museum and Library Services
1800 M Street, NW, 9th Floor
Washington, DC 20036-5802

Applications must be postmarked by July 15, 2006.

Shipping

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent through the U.S. Postal Service to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (CDs, videos, slides, etc.) put through the irradiation process will suffer irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

- In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and Federal Holidays, IMLS will accept proposals postmarked the next business day.

Hand Delivery

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Standard Time) daily, except Saturday, Sunday, and Federal Holidays. IMLS will provide a dated receipt at the time of delivery.

IMLS Acknowledgement

- Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application number. If this form is not received, contact IMLS to make sure the application was received.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected. See Shipping, above, for information about postal delays.

Proof of Shipping

IMLS may ask for proof of shipping if the date on the package cannot be read.

- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, and verify that the date stamped is correct.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.



Application Forms

APPLICATION CHECKLIST

Use this checklist to help you arrange the sections of the application in the correct order.

- ☐ Face Sheet (two pages)
- ☐ Museum Grants for African American History and Culture Information Sheet (two pages)
- ☐ Explanation of budget deficit or surplus, if applicable
- ☐ Statement of Purpose/Mission Statement and History (not to exceed one page)
- ☐ Institutional Financial Statements
- ☐ Narrative (not to exceed seven pages)
- ☐ Schedule of Completion
- ☐ Project Budget Forms
 - ☐ Summary Budget
 - ☐ Detailed Budget
 - ☐ Budget Justification (not to exceed two pages)
- ☐ Proof of current, federally negotiated rate for indirect costs, if applicable
- ☐ Proof of Non-profit Status, if applicable
- ☐ List of key project staff and consultants
- ☐ Resume(s) for key project personnel (not to exceed two pages per person)
- ☐ Grant Processing Information Sheet
- ☐ Attachments (not to exceed 20 pages)

FACE SHEET - PAGE ONE

1. Applicant Information

Legal Name: _____
Address 1: _____ Address 2: _____
City: _____ County: _____
State: _____ Zip+4/Postal Code: _____
DUNS Number: _____ Employer/Taxpayer Number (EIN/TIN): _____
Web Address: http://_____

2. Project Information

Project Title: _____

Project Description: _____

Grant Period Start Date: _____ End Date: _____

3. Project Director

Prefix: _____ First Name: _____ Middle Initial: _____
Last Name: _____ Suffix: _____
Title: _____
Address 1: _____ Address 2: _____
City: _____ County: _____
State: _____ Zip+4/Postal Code: _____
E-mail: _____
Telephone Number: _____ Fax Number: _____

4. Primary Contact/Grants Administrator

☐ Same as Project Director (skip to next item)

Prefix: _____ First Name: _____ Middle Initial: _____
Last Name: _____ Suffix: _____
Title: _____
Address 1: _____ Address 2: _____
City: _____ County: _____
State: _____ Zip+4/Postal Code: _____
E-mail: _____
Telephone Number: _____ Fax Number: _____

FACE SHEET - PAGE TWO

5. Type of Applicant (check one):

- ☐ State Government
- ☐ County Government
- ☐ City or Township Government
- ☐ Special District Government
- ☐ Regional Organization
- ☐ U.S. Territory or Possession
- ☐ Independent School District
- ☐ Public/State Controlled Institution of Higher Education
- ☐ Indian/Native American Tribal Government (Federally Recognized)
- ☐ Indian/Native American Tribal Government (Other than Federally Recognized)
- ☐ Indian/Native American Tribally Designated Organization
- ☐ Public/Indian Housing Authority
- ☐ Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)
- ☐ Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)
- ☐ Private Institution of Higher Education
- ☐ Individual
- ☐ For-Profit Organization (Other than Small Business)
- ☐ Small Business
- ☐ Hispanic-serving Institution
- ☐ Historically Black Colleges and Universities (HBCUs)
- ☐ Tribally Controlled Colleges and Universities (TCCUs)
- ☐ Alaska Native and Native Hawaiian Serving Institutions
- ☐ Nondomestic (non-U.S.) Entity
- ☐ Other (specify) _____

6. Authorized Representative/Authorizing Official

By signing the application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

*Certifications and Assurances, are set forth in the IMLS guidelines for the program to which application is made.

☐ I Agree

Prefix: _____ First Name: _____ Middle Initial: _____

Last Name: _____ Suffix: _____

Title: _____

E-mail: _____

Telephone Number: _____ Fax Number: _____

k. Signature of Authorized Representative: _____

l. Date Signed: _____

AFRICAN AMERICAN HISTORY AND CULTURE INFORMATION SHEET - PAGE ONE

1. Legal Name: _____

Organizational Unit (if different from Legal Name): _____

Address 1: _____ Address 2: _____

City: _____ County: _____

State: _____ Zip+4/Postal Code: _____

2. Type of museum, if applicable (check one):

- | | |
|---|---|
| <input type="checkbox"/> Aquarium | <input type="checkbox"/> Natural History /Anthropology Museum |
| <input type="checkbox"/> Arboretum/Botanical garden | <input type="checkbox"/> Nature Center |
| <input type="checkbox"/> Art Museum | <input type="checkbox"/> Planetarium |
| <input type="checkbox"/> Children's/Youth Museum | <input type="checkbox"/> Science/Technology Museum |
| <input type="checkbox"/> General Museum* | <input type="checkbox"/> Zoo |
| <input type="checkbox"/> Historic House/Site | <input type="checkbox"/> Specialized** |
| <input type="checkbox"/> History Museum | <input type="checkbox"/> Other, please specify: _____ |

*A museum with collections representing two or more disciplines equally (e.g., art and history)

**A museum with collections limited to one narrowly defined discipline (e.g. textiles, stamps, maritime, ethnic group)

3. If the applicant is a museum, enter attendance for the 12-month period prior to the application:

Onsite: _____ Offsite: _____

4. Total number of hours the museum (if applicant) was open to the public for the 12-month period prior to application: _____

5. Year the museum was first open and exhibiting to the public or year the organization was established/founded:

6. Number of full-time paid institution staff: _____ 7. Number of full-time unpaid institution staff: _____

8. Number of part-time paid institution staff: _____ 9. Number of part-time unpaid institution staff: _____

10.

Fiscal year	Revenue/ Support income	Expenses/ Outlays	Budget deficit (if applicable)*	Budget surplus (if applicable)*
Most recently completed FY _____				
Second most recently completed FY _____				

*If Institution has a budget deficit or surplus for either of the two most recently completed fiscal years, please attach a single sheet behind this face sheet to explain the circumstances of this deficit or surplus.

**AFRICAN AMERICAN HISTORY AND CULTURE
INFORMATION SHEET - PAGE TWO**

11. Total Amount Requested: \$_____.

12. Amount of Cost Share: \$_____.

13. Summary of Project Activities (2,000 maximum character count):

PROJECT BUDGET FORM - SUMMARY BUDGET

Name of Applicant Organization: _____

IMPORTANT! Read instructions before proceeding.

Direct Costs

	\$ IMLS	\$ Cost Share	\$ TOTAL
Salaries and Wages			
Fringe Benefits			
Consultant Fees			
Travel			
Materials, Supplies and Equipment			
Services			
Other			
TOTAL DIRECT COSTS			
Indirect Costs			

TOTAL PROJECT COSTS

Amount of Cost Share

Amount of In-Kind Contributions

Total Amount of Cost Share (Cash and In-Kind Contributions)

Amount Requested from IMLS, Including Indirect Costs

Percentage of Total Project Costs Requested from IMLS (may not exceed 50%)

Have you received or requested funds for any of these project activities from another federal agency?

(Please check one): ☐ Yes ☐ No

If yes, name of agency: _____

Request/Award Amount: _____

PROJECT BUDGET - DETAILED BUDGET

Year ☐ 1 ☐ 2 Budget Period from ____/____/____ to ____/____/____

Name of Applicant Organization: _____

Salaries and Wages (Permanent Staff)

Name/Title of Position	No.	Method of Cost Computation	\$ IMLS	\$ Cost Share	\$ Total
TOTAL SALARIES AND WAGES					

Salaries and Wages (Temporary Staff Hired for this Project)

Name/Title of Position	No.	Method of Cost Computation	\$ IMLS	\$ Cost Share	\$ Total
TOTAL SALARIES AND WAGES					

Fringe Benefits

Rate		\$ Salary Base	\$ IMLS	\$ Cost Share	\$ Total
	% of				
	% of				
	% of				
TOTAL FRINGE BENEFITS					

Consultant Fees

Name or Type of Consultant	No. of days	Daily Rate of Compensation	\$ Grant Funds	\$ Cost Sharing	\$ Total
SUBTOTALS					

Travel

From/To	No. of persons	No. of days	\$ Subsistence Costs	\$ Transportation Costs	\$ IMLS	\$ Cost Share	\$ Total
TOTAL TRAVEL COSTS							

Materials, Supplies, and Equipment

Item	Method of Cost Computation	\$ IMLS	\$ Cost Share	\$ Total
TOTAL MATERIALS, SUPPLIES, AND EQUIPMENT				

Services

Item	Method of Cost Computation	\$ IMLS	\$ Cost Share	\$ Total
TOTAL SERVICES COSTS				

Other

Item	Method of Cost Computation	\$ IMLS	\$ Cost Share	\$ Total
TOTAL OTHER COSTS				

TOTAL DIRECT PROJECT COSTS

--	--	--

Indirect Costs

Read the instructions about Indirect Costs before completing this section.

Applicant Organization is using (check one):

- ☐ An indirect cost rate that does not exceed 15 percent
☐ A current, federally negotiated indirect cost rate

Name of federal agency: _____ Expiration Date of Agreement: _____

- ☐ A proposed rate while negotiating a federally negotiated direct cost rate (must include the indirect cost proposal in the application material)

Name of federal agency: _____ Date of initial proposal: _____

Indirect Cost Calculations

_____ % of \$ _____ (modified direct IMLS costs) = \$ _____ IMLS indirect portion

_____ % of \$ _____ (modified direct Cost Share costs) = \$ _____ Cost Share indirect portion

Total indirect costs = \$ _____

SAMPLE SCHEDULE OF COMPLETION

This is a sample format for a schedule of completion (see page 22). You may prepare yours in a similar manner or you may create your own format. Whatever format you choose, be sure to list each major project activity addressed in your narrative, the date each activity begins and ends (month, day, year), and if part of a much larger project make sure the IMLS funded portion is clearly identified. It is critical that the dates on your schedule of completion correspond to the project dates on your Face Sheet (pages 35–36).

	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
Data Requirements												
Design and Pre-Test												
Conduct Survey												
Data Analysis												
Web Site												
Teleconference												
Training Institute												
Evaluation												
Conferences												
Training Institute												
Final Report Dissemination												

GRANT PROCESSING INFORMATION SHEET

Eligibility Requirements

All IMLS Museum Grants for African American History and Culture applicants must answer the following questions.

1. Please check the appropriate answer.

a. A museum whose primary purpose, as reflected in its mission, is African American life, art, history, and culture.

☐ Yes

☐ No

b. A museum service organization or association whose primary purpose, as reflected in its mission, is to support museums identified in 1a. above.

☐ Yes

☐ No

c. An Historically Black College or University as defined by the Higher Education Act of 1965, as amended, 20 U.S.C. Section 1061, and pursuant to Executive Order 13256, dated February 12, 2002.

☐ Yes

☐ No

2. Is the institution either a unit of state or local government or a private not-for-profit organization that has tax-exempt status under the Internal Revenue Code, which is organized on a permanent basis for essentially educational or aesthetic purposes?

☐ Yes

☐ No

3. Does the institution own or use tangible objects, whether animate or inanimate?

☐ Yes

☐ No

4. Does the institution care for tangible objects, whether animate or inanimate?

☐ Yes

☐ No

5. Are these objects exhibited by the institution to the general public on a regular basis through facilities the institution owns or operates?

☐ Yes

☐ No

6. Is the institution open and exhibiting tangible objects to the general public at least 120 days a year through facilities the institution owns or operates?

☐ Yes

☐ No

7. Does the institution employ at least one professional staff member, or the full-time equivalent, whether paid or unpaid, who is primarily engaged in the acquisition, care, or exhibition to the public of tangible objects owned or used by the institution?

☐ Yes

☐ No

IMLS ASSURANCES AND CERTIFICATION

IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, nondiscrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a “Disclosure of Lobbying Activities” (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. The authorized representative/authorizing official must review the Statement and sign the certification in, item 6 on the Application Face Sheet, page 44. If you receive a grant, you must comply with these requirements.

Assurances Statement

By signing the application form, the authorized representative/authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations, which are available from IMLS upon request. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

Certifications Required of All Applicants

Financial, Administrative, and Legal Accountability

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the nonfederal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

Federal Debt Status

The authorized representative/authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

Department and Suspension

The authorized representative/authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

IMLS ASSURANCES AND CERTIFICATION

Non-Discrimination

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

Drug-Free Workplace Act of 1988

(A) The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
- (b) establishing an ongoing drug-free awareness program to inform employees about:

- (1) the dangers of drug abuse in the workplace;
 - (2) the grantee's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
- (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:

- (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
- (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**Certification Regarding Lobbying Activities
(Applies to Applicants Requesting Funds in
Excess of \$100,000)**

The authorized representative/authorizing official certifies, to the best of his or her knowledge and belief that:

- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement;
- (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorized representative/authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and

IMLS ASSURANCES AND CERTIFICATION

- (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

General Certification

The authorized representative/authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program. IMLS grant regulations may be found at 45 CFR Part 1180 et seq.

Certifications Required of Some Applicants

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

Subagreements

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the non-discrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and sub-contractors who will receive \$100,000 or

more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:

- (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Native American Human Remains and Associated Funerary Objects

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

Historic Properties

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

Environmental Protections

The authorized representative/authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended;
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.);
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);

- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorized representative/authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

IMLS ASSURANCES AND CERTIFICATION

Research on Human and Animal Subjects

The authorized representative/authorizing official, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

The authorized representative/authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on these certifications, contact IMLS, 1800 M Street, NW, 9th Floor, Washington, DC 20036. Or call 202/653-IMLS (4657).

IMLS programs do not discriminate on the basis of race, color, national origin, sex, handicap, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, Washington, DC 20506.



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